

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. § 371

426 Rec'd PCT/PTO 03 SEP 1999

U.S. APPLICATION NO. (If known, see 37 C.F.R. § 1.5):

INTERNATIONAL APPLICATION NO.
PCT/US98/04084INTERNATIONAL FILING DATE
March 3, 1998PRIORITY DATE CLAIMED
March 3, 1997TITLE OF INVENTION: ADENOVIRUS VECTORS SPECIFIC FOR CELLS EXPRESSING ALPH-FETOPROTEIN
AND METHODS OF USE THEREOF

APPLICANT(S) FOR DO/EO/US: Andrew S. LITTLE, Henry LAMPARSKI, Daniel R. HENDERSON and Eric R. SCHUUR.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. § 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. § 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. § 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. § 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. § 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. § 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. § 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. § 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. § 371(c)(4)) ☒ Unsigned ☐ Signed (___ pages).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. § 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 C.F.R. §§ 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. §§ 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment (___ pages).
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☒ Prior to examination of the above-identified application, please cancel claims 1-70 and add new claims 1-29 as stated in the preliminary amendment.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: return receipt postcard,

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail Label No.: EL034669783US

Date of Deposit: _____, 1999

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Signature

Printed Name

U.S. APPLICATION NO. (If known, see 37 C.F.R. § 1.5)

09/509591

INTERNATIONAL

APPLICATION NO. PCT/AU97/00351

DOCKET

NUMBER: Griffith

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 C.F.R. §§ 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO\$840.00

International preliminary examination fee paid to
(USPTO (37 C.F.R. § 1.482))\$670.00No international preliminary examination fee paid to USPTO (37 C.F.R. § 1.482)
but international search fee paid to USPTO (37 C.F.R. § 1.445(a)(2))\$760.00Neither international preliminary examination fee (37 C.F.R. § 1.482) nor
international search fee (37 C.F.R. § 1.445(a)(2)) paid to USPTO\$970.00International preliminary examination fee paid to USPTO (37 C.F.R. § 1.482)
and all claims satisfied provisions of PCT Article 33(2)-(4)\$96.00**ENTER APPROPRIATE BASIC FEE AMOUNT =** \$970.00Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☒ 30 months from
the earliest claimed priority date (37 C.F.R. § 1.492(e)). \$130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	29-20 =	9	x \$18.00	\$162.00
Independent claims	3-3 =	0	x \$78.00	\$0.00
			+ \$260.00	\$0.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

TOTAL OF ABOVE CALCULATIONS = \$2262.00Reduction by ½ for filing by small entity, if applicable. Verified Small Entity Statement must
also be filed (Note 37 C.F.R. §§ 1.9, 1.27, 1.28) \$1131.00**SUBTOTAL =** \$1131.00Processing fee of \$130.00 for furnishing the English translation later than
☐ 20 ☐ 30 months from the earliest claimed priority date (37 C.F.R. § 1.492(f)). + \$0.00**TOTAL NATIONAL FEE =** \$1131.00Fee for recording the enclosed assignment (37 C.F.R. § 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 C.F.R. §§ 3.28, 3.31). \$40.00 per property + \$0.00**TOTAL FEES ENCLOSED =** \$1131.00

Amount to be refunded:	\$
charged:	\$

- a. ☐ A check in the amount of \$1131.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 03-1952 in the amount of \$ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Assistant Commissioner is hereby authorized to charge any additional fees that may be required, or credit any overpayment to Deposit Account No. 03-1952.

NOTE: Where an appropriate time limit under 37 C.F.R. § 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. § 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Catherine M. Polizzi
Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018

Catherine M. Polizzi
SIGNATURE

Catherine M. Polizzi
Registration No. 40,130.